



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

| | | | |
|---|------------------------|--------------------------|--------------------------|
| Substitute for form 1449A/PTO | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Application Number | Not assigned |
| | | Filing Date | Herewith |
| | | First Named Inventor | McCanne, Steven, et. al. |
| | | Art Unit | Unassigned 2144 |
| | | Examiner Name | Unassigned Cloud |
| Sheet 1 of 3 | Attorney Docket Number | 019599-000320US | |

| U.S. PATENT DOCUMENTS | | | | | | |
|-----------------------|-----------------------|-----------------|-----------------------------------|--------------------------------|--|---|
| Examiner | Cite No. ¹ | Document Number | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Number | Kind Code ² (if known) | | | |
| JCI | AA | US-5,831,975 | | 11-1998 | Chen et al. | |
| JCI | AB | US-5,903,559 | | 05-1999 | Acharya et al. | |
| JCI | AC | US-5,948,316 | | 01-1997 | Chen et al. | |
| JCI | AD | US-4,807,224 | | 02-1989 | Naron et al. | |
| JCI | AE | US-5,634,011 | | 05-27-1997 | Auerbach et al. | |
| JCI | AF | US-5,331,637 | | 07-19-1994 | Francis et al. | |
| JCI | AG | US-6,003,030 | | 12-14-1999 | Kenner, B. et al. | |
| JCI | AH | US-6,052,718 | | 04-18-2000 | Gifford, David K. | |
| JCI | AI | US-6,112,239 | | 08-29-2000 | Kenner, B. et al. | |
| JCI | AJ | US-5,956,716 | | 09-21-1999 | Kenner et al. | |

| FOREIGN PATENT DOCUMENTS | | | | | | |
|--------------------------|--------------------------|---------------------------|--|--------------------------------|---|--|
| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| | | Country Code ³ | Number ⁴ Kind Code ⁵ (if known) | | | |
| | | | | | | <input type="checkbox"/> |

05/30/2007

| | | | |
|-----------------------|---------------|--------------------|------------|
| Examiner Signature | /Joiya Cloud/ | Date Considered | 05/30/2007 |
|-----------------------|---------------|--------------------|------------|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231
SF 1396214 v1

| | | | | | | |
|---|--|--------------------------------------|---------|-----------------------------------|-----------|---------------------------------|
| FORM PTO-1449 (Modified) | | Attorney Docket No.: 019599-000320US | | Application No.: Not assigned | | |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary) | | Applicant: Steven McCanne et al. | | | | |
| | | Filing Date: Herewith | | Group: Unassigned 2144 | | |
| Reference Designation | | U.S. PATENT DOCUMENTS | | | | Page 1 |
| Examiner Initial | Document No. | Date | Name | Class | Sub-class | Filing Date (If Appropriate) |
| | | | | | | |
| FOREIGN PATENT DOCUMENTS | | | | | | |
| | Document No. | Date | Country | Class | Sub-class | Translation (Yes/No) |
| | | | | | | |
| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | |
| /JC/ BA | Deering, S. and Cheriton, D., "Multicast Routing in Datagram Internetworks and Extended LANs," <i>ACM Transactions on Computer Systems</i> , Vol. 8, no. 2, May 1990, pp. 85-110. | | | | | |
| BB | Maffeis, S., Bischofberger, W.R., and Mätzler, K. -U., "GTS: A Generic Multicast Transport Service," <i>UBILAB Technical Report</i> , 94.6.1, 1994, pp. 1-7. | | | | | |
| BC | Bormann, C., Ott, J., Gehrcke, H.C., Kersch, T., and Seifert, N., "Mtp-2: Towards achieving the S.E.R.O. Properties for Multicast Transport," International Conference on Computer Communications Networks, (San Francisco, California), Sept. 1994. | | | | | |
| BD | Parsa, M., and Garcia-Luna-Aceves, J., "Scalable Internet Multicast Routing," Proceedings of ICCCN 95, (Las Vegas, Nevada), Sept. 1995. | | | | | |
| BE | Thyagarajan, A.S., and Deering, S.E., "Hierarchical Distance-Vector Multicast Routing for the Mbone, Sigcomm '95, (Cambridge, Massachusetts), August 1995. | | | | | |
| BF | Yavatkar, R., Griffioen, J. and Sudan, M., "A Reliable Dissemination Protocol for Interactive Collaborative Applications," <i>ACM Multimedia 1995</i> (San Francisco, California) November 1995. | | | | | |
| BG | Amir, E., McCanne, S., and Zhang, H., "An Application Level Video Gateway," <i>ACM Multimedia 1995</i> (San Francisco, California) November 1995. | | | | | |
| BH | Lin, J.C., and Paul, S., "Rmtp: A Reliable Multicast Transport Protocol," <i>IEEE INFOCOM '96</i> , pages 1414-1424. | | | | | |
| BI | Deering, S., Estrin, D., Farinacci, D., Jacobson, V., Liu, C., and Wei, L., "The PIM Architecture for Wide-Area Multicast Routing," <i>IEEE/ACM Transactions on Networking</i> , Vol. 4, No. 2, April 1996, pp. 153-162. | | | | | |
| BJ | Atwood, J.W., Catrina, O., Fenton, J., and Strayer, W. Timothy, "Reliable Multicasting in the Xpress Transport Protocol," Proceedings of the 21 st Local Computer Networks Conference (Minneapolis, Minnesota) October 13-16, 1996. | | | | | |
| BK | Perkins, C., and Crowcroft, J., "Real-Time Audio and Video Transmission of IEEE GLOBECOM '96 Over the Internet," <i>IEEE Communications Magazine</i> , Vol. 35, April 1997, pp. 30-33. | | | | | |
| BL | Sharma, P., Estrin, D., Floyd, S. and Jacobson, V., "Scalable Timers for Soft State Protocols," Proceedings IEEE Infocom '97 (Kobe, Japan) April 1997. | | | | | |
| BM | Mitra, S., "Iolus: A Framework for Scalable Secure Multicasting," <i>ACM Computer Communication Review</i> , Vol. 27, October 1997, pp. 277-288. | | | | | |
| BN | Hodel, H., "Policy Tree Multicast Routing: An Extension to Sparse Mode Source Tree Delivery," <i>ACM Computer Communication Review</i> , Vol. 28, No. 2 April 1998, pp. 78-97. | | | | | |
| BO | Kumar, S., Radoslavov, P., Thaler, D., Alaettinoglu, C., Estrin, D., and Handley, M., "The MASC/BGMPL Architecture for Inter-Domain Multicast Routing," <i>SIGCOMM '98</i> (Vancouver, Canada) September 1998. | | | | | |
| BP | Decasper, D., Dittia, Z., Parulkar, G., Plattner, B. "Router Plugins: A Software Architecture for Next Generation Routers," <i>ACM SIGCOMM '98</i> (Vancouver, Canada) September 1998. | | | | | |
| BQ | Handley, M., Crowcroft, J., Bormann, C., Ott, J., "Very Large Conferences on the Internet: The Internet Multimedia Conferencing Architecture," <i>Computer Networks</i> , Vol. 31, No. 3, 1999 pp. 191-204. | | | | | |
| BR | Holbrook, H. and Cheriton, D.R., "IP Multicast Channels: EXPRESS Support for Large-Scale Single-Source Applications," <i>Computer Communication Review</i> , Vol. 29, No. 4, October 1999. | | | | | |
| /JC/BS | Farinacci, D., Lin, A., Speakman, T., and Tweedly, A., "Pretty Good Multicast (PGM) Transport Protocol Specification," Internet Draft, Internet Engineering Task Force, January 1998. | | | | | |

| | | | |
|----------|---|-----------------|------------|
| JC/ BT | Farinacci, D., Wei, L., and Meylor, J., "Use of Anycast Clusters for Inter-Domain Multicast Routing," Internet Draft, Internet Engineering Task Force, March 1998. | | |
| BU | Robertson, K., Miller, K., White, M., and Tweedly, A., "StarBurst Multicast File Transfer Protocol (MFTP) Specification," Internet Draft, Internet Engineering Task Force, April 1998. | | |
| BV | Bannerjea, A. Faloutsos, M., and Pankaj, R., "Designing QoSMIC: A Quality of Service Sensitive Multicast Internet Protocol," Internet Draft, Internet Engineering Task Force, May 1998. | | |
| BW | Thaler, D., Estrin, D., Meyer, D., "Border Gateway Multicast Protocol (BGMP): Protocol Specification," Internet Draft, November 1998. | | |
| BX | Casey, L., Cunningham, I., and Eros, R., "IP VPN Realization Using MPLS Tunnels," Internet Engineering Task Force, November 1998. | | |
| BY | Finlayson, R., "A More Loss-Tolerant RTP Payload Format for MP3 Audio," Internet Draft, January 1999. | | |
| BZ | Finlayson, R. "IP Multicast and Firewalls," Internet Draft, May 1999. | | |
| CA | Blazevic, L. and Le Boudec, J., "Distributed Core Multicast (DCM): A Routing Protocol for Many Small Groups with Application to Mobile IP Telephony," Internet Engineering Task Force, June 1999. | | |
| CB | Hampton, D., Oran, D., Salama, H., and Shad, D., "The IP Telephony Border Gateway Protocol (TBGP), Internet Engineering Task Force, June 1999. | | |
| CC | Finlayson, R. "The UDP Multicast Tunneling Protocol," Internet Draft, July 1999. | | |
| CD | Malis, A., Heinanen, J., Armitage, G., Gleeson, B., "A Framework for IP Based Virtual Private Networks Internet Draft," August 1999. | | |
| CE | Waitzman, D., Partridge, C., Deering, S. E., "Distance Vector Multicast Routing Protocol," Request For Comments RFC 1075, November 1988. | | |
| CF | Hanks, S., Li, T., Farinacci, D., and Traina, P., "Generic Routing Encapsulation," Request for Comments RFC 1701, October 1994. | | |
| CG | Farinacci, D., Hanks, S., Li, T., and Traina, P., "Generic Routing Encapsulation Over IPv4 Networks," Request For Comments RFC 1702, November 1994. | | |
| CH | Schulzrinne, H., Casner, S., Frederick, R., Jacobson, V., "RTP" A Transport Protocol for Real-Time Applications," Request for Comments RFC 1889, January 1996. | | |
| CI | Fenner, W., "Internet Group Management Protocol," Version 2, RFC 2236, November 1997. | | |
| CJ | Ballardie, A., "Core Based Trees (CBT) Multicast Routing Architecture," Request for Comments, RFC 2201, September 1997. | | |
| CK | Estrin, D., Farinacci, D., Helmy, A., Thaler, D., Deering, S., Handley, M., Jacobson, V., Liu, C., Sharma, P., and Wei, L., "Protocol Independent Multicast-Sparse Mode (PIM-SM)," Request for Comments, RFC 2362, June 1998. | | |
| JC/ CL | Arango, M., Dugan, A., Elliott, I, Huiterna, C., and Pickett, S., "Media Gateway Control Protocol (MGCP) Version 1.0," RFC 2705, October 1999. | | |
| EXAMINER | /Joiya Cloud/ | DATE CONSIDERED | 05/30/2007 |

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.